JC10 Rec'd PCT/PTO 06 FEB 2002

09/06/02 jc525 U.S. PTO

Form PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV 10-95) TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371	ATTORNEY'S DOCKET NUMBER **1217-020120** U.S. APPLICATION NO. (If known, see 37 CFR 1.5) **10/049356**

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATES CLAIMED
PCT/JP01/04617	**31.05.01 (31 May 2001)**	**07.06.00 (17 June 2000)**

TITLE OF INVENTION: **PROCESS FOR PRODUCING SINTERED ALUMINUM NITRIDE FURNISHED WITH VIA HOLE**

APPLICANT(S) FOR DO/EO/US: **Reo YAMAMOTO and Yoshihide KAMIYAMA**

Applicant herewith submits to the United States Designated Elected Office (DO/EO/US) the following items and other information:

1. ☑ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.

2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.

3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).

4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.

5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
   a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau)
   b. ☒ has been transmitted by the International Bureau.
   c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).

6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).

7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
   a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☐ have been transmitted by the International Bureau.
   c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
   d. ☒ have not been made and will not be made.

8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).

9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).

10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.

12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.

13. ☒ A FIRST preliminary amendment.
    ☐ A SECOND or SUBSEQUENT preliminary amendment.

14. ☐ A substitute specification.

15. ☐ A change of power of attorney and or address letter.

16. ☒ Other items or information:
    a. WO 01/94273-Front Page And International Search Report (2 pp.);

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17. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):

Search Report has been prepared by the EPO or JPO **$890.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482) **$710.00**

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) **$740.00**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO **$1040.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) **$100.00**

CALCULATIONS PTO USE ONLY

ENTER APPROPRIATE BASIC FEE AMOUNT =	$ 890.00	
Surcharge of **$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492(e))	$ 0.00	

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	14 - 20	0	X **$18.00**	$ 0.00	
Independent claims	2 - 3	0	X **$84.00**	$ 0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ **$280.00**	$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				$ 890.00	
Reduction of 1/2 for filing by small entity, if applicable.				$ 0.00	
SUBTOTAL =				$ 890.00	
Processing fee of **$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f))			+	$ 0.00	
TOTAL NATIONAL FEE =				$ 890.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **$40.00** per property			+	$ 40.00	
TOTAL FEES ENCLOSED =				$ 930.00	
				Amount to be: Refunded	$
				Charged	$

a. ☒ A check in the amount of $ **930.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of $ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0650. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
Kent E. Baldauf
700 Koppers Building
436 Seventh Avenue
Pittsburgh, Pennsylvania 15219-1818
Telephone: (412) 471-8815
Facsimile: (412) 471-4094

Kent E. Baldauf
SIGNATURE

Kent E. Baldauf
NAME

25,826
REGISTRATION NUMBER

PATENT APPLICATION/PCT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: ATTORNEY'S DOCKET NUMBER

Reo YAMAMOTO
Yoshihide KAMIYAMA

1217-020120

PCT/JP01/04617

ENTITLED

PROCESS FOR PRODUCING SINTERED ALUMINUM NITRIDE FURNISHED WITH VIA HOLE

To **BOX PCT**
Attention: DO/EO/US
Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" Label Number **EL873414190US**

Date of Deposit February 6, 2002

I hereby certify that the following attached paper or fee

Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371 (original and two (2) copies) And Check In The Amount Of $930.00 For Filing Fee And Assignment Fee; Preliminary Amendment; WO 01/94273 Front Page With Abstract And Search Report (2 pp.); Specification (47 pp), Claims (3 pp.), Abstract (1 pp.); One Sheet Of Drawings; Declaration And Power Of Attorney (2 pp.); Recordation Form Cover Sheet And Assignment (3 pp.)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

K.T. Berthold
(Typed name of person mailing paper or fee)

(Signature of person mailing paper or fee)